

# U.S. Department of Energy

# ORDER

National Energy Technology Laboratory

243.2

DATE: 7/29/02

SUBJECT: RECORDS MANAGEMENT PROGRAM

1. OBJECTIVE. To set forth the requirements and responsibilities for implementing and maintaining a cost-effective Records Management Program for the National Energy Technology Laboratory (NETL).
  - a. To provide for:
    - (1) Adequate and proper documentation of NETL organization, functions, policies, decisions, procedures, and essential transactions of NETL,
    - (2) Maintenance and use of records supporting NETL activities,
    - (3) Proper records disposition, and
    - (4) Economy and efficiency in the execution of the NETL Records Management Program.
  - b. To comply with the National Archives and Records Administration Act of 1984, as amended, Federal laws and regulations, Executive Orders, DOE Orders, DOE Manuals, DOE Standards, accepted external standards, and authoritative issuances.
  - c. To protect the legal and financial rights of the Government and individuals directly affected by Government activities.
  - d. To identify and confirm compliance with additional record-keeping requirements including environmental, safety, health studies, quality assurance, emergency management, and other mission-related functions.
2. CANCELLATION. This Order replaces all documents created prior to the formation of NETL that pertain to the tracking and maintenance of records.

DISTRIBUTION: All NETL Elements

INITIATED BY: Office of the Director

### 3. APPLICABILITY.

- a. The provisions of this Order apply to all NETL Organizational elements and site support contractors, as provided by contract and/or law and as implemented by the Contracting Officer.
- b. This Order applies to the management of all NETL records, including those created or received, used, maintained, and/or disseminated by contractors pursuant to their contracts.

### 4. REQUIREMENTS.

- a. Identify records management requirements and develop, issue, and implement a Records Management Program in conformance with the requirements for records in all formats, including electronic.
- b. Create and maintain current file plans/indexes that describe all categories of records created, received, and maintained by personnel in the course of their official duties.
- c. Request disposition authority from the National Archives and Records Administration (NARA), through the Departmental Records Officer, for all unscheduled records.
- d. Use methods and recording techniques that ensure the protection and preservation of records in accordance with NARA-approved Records Disposition Schedules.
- e. Disposition records in accordance with NARA-approved Records Disposition Schedules.
- f. Conduct internal evaluations of records management practices and programs at least every 3 years.
- g. Ensure periodic Records Management Program training for all personnel with records management responsibilities, as appropriate.

### 5. RESPONSIBILITIES.

- a. The NETL Director shall:
  - (1) Have overall responsibility for ensuring that the Records Management Program is administered in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders, DOE Manuals, DOE Standards, accepted external standards, and authoritative issuances.

- (2) Ensure implementation of this Order by conveying to both NETL management and to employees their responsibility for compliance with record management requirements.

b. The Director, Information Technology Division shall:

- (1) Ensure that the Records Management Program is administered in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders, DOE Manuals, DOE Standards, accepted external standards, and authoritative issuances.
- (2) Assigns authority and responsibilities for the management and operation of NETL's Records Management Program, including designating a Records Officer for the organization.

c. The Records Officer shall:

- (1) Administer the Records Management Program in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders, DOE Manuals, DOE Standards, accepted external standards, and authoritative issuances.
- (2) Administer the implementation of this Order by conveying to both NETL management and to employees their responsibility for compliance with record management requirements.
- (3) Survey and appraise the Records Management Program (including site support contractors) and recommend necessary records management improvements.
- (4) Identify required Records Management training activities.
- (5) Serves as the NETL point of contact for Records Management Program issues.

d. The Contracting Officials shall:

- (1) Ensure that all site support contracts include requirements for compliance with this Order.
- (2) Ensure the appropriate records are identified as contract deliverables, including records pertaining to the environment, safety, and health; financial and technical records; and other specified records as appropriate to the contract scope.

(3) Ensure records identified as contract deliverables are handled in accordance with the requirements of this Order and other relevant procedures, laws, and regulations and delivered to NETL at appropriate intervals, per the contracts, or at the termination of the contract.

- e. The Project Managers shall provide project records to the records holding area designated for storage and maintenance of project technical and procurement files.
- f. The NEPA Compliance Officer shall establish a central storage area for segregated storage of all NEPA records in coordination with the Records Officer.
- g. The NETL Employees shall comply with the Records Management Program in accordance with this Order.

6. POLICY. NETL will institute a Records Management Program in accordance with the requirements of all Federal laws and regulations, Executive Orders, DOE Orders, DOE Manuals, DOE Standards, accepted external standards, and authoritative issuances.

7. REFERENCES. The references listed below provide additional clarifications and/or requirements for the Records Management Program.

- a. [DOE Order 200.1, Information Management Program](#), of 9/30/96.
- b. [NETL Procedure 243.1-1, ES&H Record Identification and Retention](#), of 8/3/01.
- c. [NETL Procedure 243.2-1, Records Management](#), current version.
- d. [NETL Procedure 243.2-2, Records Inventory](#), current version.
- e. [NETL Procedure 243.2-3, Records Disposition](#), current version.
- f. [NETL Procedure 243.2-4, Electronic Records](#), current version.
- g. [NETL Procedure 243.2-5, Filing System](#), current version.
- h. Title 36 CFR, Chapter 12, Subchapter B, [Records Management](#).
- i. Title 44 U.S.C., Chapter 21, [National Archives and Records Administration](#).
- j. Title 44 U.S.C., Chapter 29, [Records Management by the Archivist of the United States and the Administrator of General Services](#).

- k. Title 44 U.S.C., Chapter 31, "Records Management by Federal Agencies."
- l. Title 44 U.S.C., Chapter 33, "Disposal of Records."

8. DEFINITIONS.

- a. Appraisal -- The process by which the National Archives and Records Administration (NARA) determines the value and the final disposition of Federal records, making them either temporary or permanent.
- b. Contractor Records -- Those records not identified as Federal records (such as company proprietary information, records unrelated to the work performed under a Federal contract, and other similar records) and thus belong to the contractor. Contractor records are normally explicitly defined in the contract.
- c. Departmental Records Officer -- The person assigned responsibility by the DOE Chief Information Officer or his/her designee for overseeing the Department-wide Records Management Program.
- d. Disposition -- Those actions taken regarding records no longer needed to conduct regular, current business of the agency. Title 44 U.S.C. 2901(5) defines records disposition as any activity with respect to:
  - (1) Disposal of temporary records no longer needed for the conduct of business by destruction or donation to an eligible person or organization outside of Federal custody in accordance with the requirements of 36 CFR §1228;
  - (2) Transfer of records to Federal agency storage facilities or records centers;
  - (3) Transfer to the National Archives of the United States of Records determined to have sufficient historical or other value to warrant continued preservation; or
  - (4) Transfer of records from one Federal agency to any other Federal agency in accordance with the requirements of 36 CFR §1228.
- e. Documentary Materials -- A collective term for records and nonrecord materials that refers to all media on which information is recorded regardless of the nature of the medium or the method or circumstances of recording.

- f. Electronic Records -- Any information recorded in a form that only a computer can process that satisfies the definition of a record. Electronic records are not necessarily kept in recordkeeping systems but may be created, stored, and managed in any form of electronic information system or application program, such as e-mail or word processing.
- g. File Plan -- A plan identifying the specific types of records maintained, organizational elements having custodial responsibility for them, series descriptions, and disposition authorities (for example, a records inventory and disposition system or other systems used to identify, locate, and retrieve records).
- h. Filing System -- A set of policies and procedures for organizing and identifying files or documents to speed their retrieval, use, and disposition; sometimes called a recordkeeping system.
- i. Metadata -- Data describing stored data; that is, data describing the content, structure, data elements, interrelationships, and other characteristics of records. Also referred to as record profiles or indexing data.
- j. NARA -- The National Archives and Records Administration. NARA is the agency responsible for appraising, accessioning, preserving, and making available permanent Federal records. NARA approves Records Disposition Schedules for Federal agencies, providing required retention and handling instructions for records created and managed by the agencies.
- k. Nonrecord Materials -- Federally owned informational materials that do not meet the statutory definition of records or that have been excluded from coverage by the definition. Extra copies of documents kept only for reference, stocks of publications and processed documents, and library or museum materials intended solely for reference or exhibit are excluded materials.
- l. Permanent Records -- Any Federal record determined by NARA to have sufficient value to warrant its preservation in the National Archives. Permanent records include all records accessioned by NARA's Office of the National Archives and later increments of the same records and records for which the disposition is permanent on Standard Form 115, *Request for Records Disposition Authority*, approved by NARA on or after 5/14/73.
- m. Recordkeeping Requirements -- All statements, in statutes, regulations, and agency directives or authoritative issuances, providing general and specific guidance for Federal agency personnel on particular records to be created and maintained by the agency.

- n. Recordkeeping System -- A manual or automated system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.
- o. Records -- All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business, and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).
- p. Records Maintenance and Use -- Any activity involving location of records of a Federal agency or storage, retrieval, and handling of records kept at office file locations by or for a Federal agency.
- q. Records Management -- The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with records creation, records maintenance and use, and records disposition to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations.
- r. Records Management Program -- The person selected/designated by the appropriate management official for the particular DOE entity to oversee and maintain the Records Management Program, including contractor oversight.
- s. Schedule -- A NARA-approved authorization for the disposition of Federal records. Also called a records disposition schedule.
- t. Series -- File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use; also called a records series.
- u. Temporary Records -- Any record that has been determined by the Archivist of the United States to have insufficient value (on the basis of current standards) to warrant its preservation by the National Archives and Records Administration. This determination may take the form of:

- (1) An agency records disposition schedule approved by NARA (SF 115, *Request for Records Disposition Authority*) or
  - (2) A general records schedule issued by NARA.
- v. Unscheduled Records -- Records for which final disposition has not been approved by NARA. Unscheduled records are those that have not been included on an SF 115, *Request for Records Disposition Authority*, approved by NARA; those described but not authorized for disposal on an SF 115 approved prior to May 14, 1973; and those described on an SF 115 but not approved by NARA (withdrawn, canceled, or disapproved).
- w. Vital Records -- Records essential to the continued functioning or reconstitution of an organization during and after an emergency including those records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Sometimes called essential records. Vital Records considerations are part of NETL's Emergency Management Program.

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Deputy Director for Operations